

08/29/01  
11059 U.S. PTO

PATENT  
ATTORNEY DOCKET NO.: 80168-0238  
Client Matter No. P5797

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
BOX PATENT APPLICATION  
Washington, D.C. 20231

11000 U.S. PTO  
09/940580  
08/29/01

**TRANSMITTAL FOR A NEW PATENT APPLICATION**  
**UNDER 37 C.F.R. §1.53(b)**

This is a request for filing a patent application under 37 C.F.R. §1.53(b) of:

Inventors: **Keith HANKIN; Ching-Wen Alan CHU; Nirupama MALLAYARUPU  
and James KONG**

For: **SYSTEM AND METHOD FOR PROVIDING A PERSISTENT OBJECT FRAMEWORK  
FOR MANAGING PERSISTENT OBJECTS**

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.
2. The papers enclosed to obtain a filing date are as follows:
- 85 Pages of Application including
  - 1 Title Page
  - 70 Pages of Disclosure
  - 13 Pages of Claims
  - 1 Page of Abstract; and
  - 9 Sheets of drawings containing 8 Figures
- ☐ The enclosed drawing(s) are photograph(s), and there is also attached a  
PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S).
3. Declaration for Patent Application **OR** Combined Declaration and Power of Attorney
- ☒ Enclosed and are newly executed by all inventors.
  - ☐ Enclosed in this continuation/divisional application and is a copy from a prior application  
(37 CFR § 1.63(d).
  - ☐ Not Enclosed.
- This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time  
set for filing the Declaration and paying the filing fees.

4. Language

- ☒ English  
☐ Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

5. Assignment

- ✓ ☒ An assignment of the invention by inventors Ching-Wen Alan Chu, Nirupama Mallayarupu, and James Kong to Sun Microsystems, Inc. and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.
- ✓ ☒ An assignment of the invention by Keith Hankin to Netscape Communications Corporation, and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.

☐ An assignment to Assignee Name will be filed at a later date.

6. Priority - foreign applications under 35 U.S.C. §119(a)-(d) or §365(b) or PCT international applications under 35 U.S.C. §365(a) designating at least one country other than the U.S.

☐ Priority of the following foreign application(s) is claimed:

Country	Application No.	Filed

Certified copy: ☐ is attached. ☐ will follow.

7. Priority based on provisional application(s) - 35 U.S.C. §119(e)

☐ Benefit of the following U.S. provisional application(s) is claimed:

Provisional Application No.	Filed

8. Preliminary Amendment

- ☐ Amend the specification by inserting before the first line the sentence:  
"This application is a ☐ continuation, ☐ division of co-pending application number , filed , which is hereby incorporated by reference"

9. Small entity status

☐ Small entity status under 37 C.F.R. §1.27 is claimed for this application.

10. Fee Calculation (37 C.F.R. § 1.16)

CLAIMS FOR FEE CALCULATION				
	Number Filed	Number Extra	at Rate of	Basic Fee Utility \$710.00 Design \$310.00
Total Claims (37 C.F.R. §1.16(c))	44 - 20 =	24	\$ 18.00 each=	+\$ 432.00
Independent Claims (37 C.F.R. §1.16(b))	17 - 3 =	14	\$ 80.00 each=	+ \$ 1,120.00
Multiple dependent claim(s), if any (37 C.F.R. §1.16(d))			\$ 270.00	+
SUB-TOTAL =				+\$ 2,262.00
Reduction by 1/2 for filing by a small entity				-\$
TOTAL FILING FEE =				\$ 2,262.00

11. Fee Payment

- ☐ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**  
This application is being filed under the provisions of 37 C.F.R. §1.53(f).  
Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.
- ☒ Enclosed.  
A check in the amount of \$2,262.00 for the filing fees and a check for two Assignment fees of \$80.00 are enclosed.

12. ☒ **Except** for issue fees payable under 37 C.F.R. § 1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-1349. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

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13. Additional papers enclosed:

- ☐ Nonpublication Request pursuant to 37 CFR § 1.213
- ☐ Combined Power of Attorney by Assignee and Certificate under 37 CFR § 3.73(b)
- ☐ Change of Correspondence Address
- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Form PTO- 1449, documents as listed
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☒ Copy of Non-Provisional Patent Application corresponding to version reviewed and annotated by Keith Hankin is provided

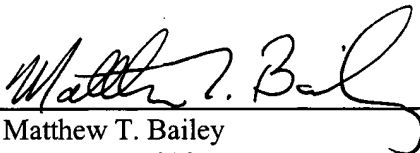
**Please accord this application an application number and filing date.**

Respectfully submitted,

**HOGAN & HARTSON LLP**

Dated: August 29, 2001

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